



7  
COPY OF PAPERS  
ORIGINALLY FILED

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Nallan C. Suresh  
APPLICATION NO.: 10/076,961  
FILING DATE: February 15, 2002  
TITLE: Sequencing Models of Healthcare Related States  
CONFIRMATION NO.: 2025  
EXAMINER: Not yet known  
GROUP ART UNIT: 2171  
ATTY. DKT. NO.: 13553-06704

RECEIVED  
JUN 03 2002  
Technology Center 2100

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the date shown below:

Dated: 16 May 2002

By: [Signature]  
Daniel R. Brownstone, Reg. No.: 46,581

COMMISSIONER FOR PATENTS  
OFFICE OF INITIAL PATENT EXAMINATION  
CUSTOMER SERVICE CENTER  
WASHINGTON, DC. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:


Enclosed is a copy of the Official Filing Receipt. It contains the following error:

The Applicants' residence addresses were not given. Attached is an Application Data Sheet with the information required along with a copy of the Original Filing Receipt marked in red for your convenience.

Please issue a corrected Filing Receipt rectifying this error.

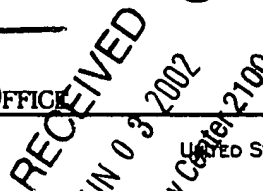
Respectfully submitted,  
NALLAN C. SURESH, JEAN DE TRAVERSAY,  
HYMA GOLLAMUDI, KRASIMIR G.  
IANAKIEV, ANU K. PATRIA, MICHAEL K.  
TYLER

Dated: 16 May 2002

By:   
Daniel R. Brownstone, Reg. No.: 46,581

Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (415) 875-2358  
Fax.: (415) 281-1350

13553/06704/SF/5073404.1

COPY OF PAPERS  
ORIGINALLY FILED
 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/076,961	02/15/2002	2171	0.00	1358-06704	3	19	12

CONFIRMATION NO. 2025

 00758  
 FENWICK & WEST LLP  
 TWO PALO ALTO SQUARE  
 PALO ALTO, CA 94306

## FILING RECEIPT



\*OC000000007666468\*

RECEIVED

MAR 20 2002

FENWICK &amp; WEST LLP

Date Mailed: 03/19/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Nallan C. Suresh, ~~Residence Not Provided~~; IRVINE, CA.  
 Jean de Traversay, ~~Residence Not Provided~~; SOLANA BEACH, CA.  
 Hyma Gollamudi, ~~Residence Not Provided~~; SAN DIEGO, CA.  
 Krassimir G. Ianakiev, ~~Residence Not Provided~~; SAN DIEGO, CA.  
 Anu K. Pathria, ~~Residence Not Provided~~; LA JOLLA, CA.  
 Michael K. Tyler, ~~Residence Not Provided~~; SAN DIEGO, CA.

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/18/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Sequencing models of healthcare related states

Preliminary Class

707

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

COPY OF PAPERS  
ORIGINALLY FILED

2171

+

PTO/SB/21 (modified)

Approved for us through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



001/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence during pendency of filed application)		Application Number	10/076,961	
		Filing Date	February 15, 2002	
		First Named Inventor	Nallan C. Suresh et al.	
		Confirmation No.	2025	
		Group Art Unit Number	2171	
		Examiner Name	Not yet known	
Total Number of Pages in This Submission		7	Attorney Docket Number	13553-06704

RECEIVED  
JUN 03 2002  
Technology Center 2100

**ENCLOSURES (check all that apply)**

- |   |   |
|---|---|
| <input type="checkbox"/> Fee Transmittal Form (in duplicate)<br><input type="checkbox"/> Check Enclosed                         | <input type="checkbox"/> Issue Fee Transmittal  |
| <input checked="" type="checkbox"/> Return Receipt Postcard   | <input type="checkbox"/> Letter to Chief Draftsperson   |
| <input type="checkbox"/> Response to Notice to File Missing Parts   | <input type="checkbox"/> Formal Drawing(s):<br>[ ] Sheet(s) of Figure(s) [ ]                  |
| <input type="checkbox"/> Copy of Notice to File Missing Parts   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences           |
| <input type="checkbox"/> Declaration  | <input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Power of Attorney  | <input type="checkbox"/> Certified Copy of Priority Document(s)                               |
| <input type="checkbox"/> Information Disclosure Statement & PTO-1449<br><input type="checkbox"/> Copies of IDS Cited References | <input type="checkbox"/> After Allowance Communication to Group                               |
| <input checked="" type="checkbox"/> Request for Corrected Filing Receipt  | <input type="checkbox"/>  |
| <input checked="" type="checkbox"/> Application Data Sheet  | <input type="checkbox"/>  |
| <input type="checkbox"/> Amendment/Response: [ ] Page(s)<br><input type="checkbox"/> After Final                                | <input type="checkbox"/>  |
| <input checked="" type="checkbox"/> Copy of Official Filing Receipt marked in red   | <input type="checkbox"/>  |
| <input type="checkbox"/> Revocation and Power of Attorney   | <input type="checkbox"/>  |

REMARKS:

**SIGNATURE OF ATTORNEY OR AGENT**

Signature:		
Attorney/Reg. No.:	Daniel R. Brownstone, Registration No. 46,581	Dated: 16 May 2002

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Initial Patent Exam, Customer Service Center, Commissioner for Patents, Washington, D.C. 20231 on the date shown below

Signature:		
Typed or Printed Name:	Daniel R. Brownstone	Dated: 16 May 2002

13553/06704/SF/5073409.1

COPY



PTO/SB/17 (10-01)(modified)

OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)  
Rev. 10/2001U.S. Department of Commerce  
Patent and Trademark Office

Complete if Known

## FEE TRANSMITTAL

## TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$ 1,992)

Application Number	10/076,961
Filing Date	February 15, 2002
First Named Inventor	Nallan C. Suresh
Group Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	13553-06704

COPY OF PAPERS  
ORIGINALLY FILED

## METHOD OF PAYMENT

## FEE CALCULATION (continued)

## 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.†
- ☐ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK &amp; WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:☒ Check ☐ Credit Card ☐ Other

## FEE CALCULATION (fees effective 10/01/2001)

## 1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	740
106/\$330	206/\$165	Design Filing	
108/\$740	208/\$370	Reissue	
114/\$160	214/\$80	Provisional Filing	
SUBTOTAL (1)			(\$ 740)

## 2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

## 3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	130
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month†	
116/\$400	216/\$200	Extension for response within second month†	400
117/\$920	217/\$460	Extension for response within third month†	
118/\$1,440	218/\$720	Extension for response within fourth month†	
128/\$1,960	228/\$980	Extension for response within fifth month†	
119/\$320	219/\$160	Notice of Appeal	
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	
143/\$460	243/\$230	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$740	279/\$370	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	40
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\$ 570)

(Col. 1)		(Col. 2)		(Col. 3)		Fee		Fee Due	
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**					
TOTAL	33	20 or		13	x	18	=	234	
INDEP	5	3 or		2	x	84	=	168	
[ X ] First presentation of multiple dependent claim						280	=	280	

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$ 462)

## SUBMITTED BY

Typed or Printed Name

Robert R. Sachs

Complete (if applicable)

Reg. Number

42,120

Signature

Robert R. Sachs

Date

July 19, 2002

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



JUL 25 2002

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/076,961	02/15/2002	Nallan C. Suresh	13553-06704

00758  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306

COPY OF PAPERS  
ORIGINALLY FILED

CONFIRMATION NO. 2025  
FORMALITIES LETTER



\*OC000000007666469\*

Date Mailed: 03/19/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/29/2002 AOSMAN1 00000039 10076961

01 FC:101	740.00 OP
02 FC:102	168.00 OP
03 FC:103	234.00 OP
04 FC:104	280.00 OP
05 FC:105	130.00 OP

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$756.  
    ▪ \$756 for 9 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1626.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

H. Truong

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

205270-19694007